

UNITED STATES GOVERNMENT

# Memorandum

LIBRARY OF CONGRESS

TO: DCM recipients

DATE: November 27, 2002

FROM: Barbara B. Tillett, Chief  
Cataloging Policy and Support Office

SUBJECT: Revision of *LC Guidelines* to the MARC 21 Format for Authority Data: 086 (p. 1);  
Revision of *DCM Z1*: Introduction (p. 7-8), 1XX (p. 2), 4XX (p. 2), 5XX (p. 1), 642 (p. 1),  
Appendix for Canadian headings (p. 3, 6, 21)

The revision to the *LC Guidelines* ("blue pages") documents the change in the NACO decision for field 086.

The revisions to *DCM Z1* ("yellow pages") are related to changes in Revision 2002 of AACR2 and associated LCRI. Information in the Appendix for Canadian headings has been updated.

## **086 Government Document Call Number**

### **NACO:**

Field 086 may be supplied only by the U.S. Government Printing Office in series authority records. Other NACO participants should not supply, update, or delete this field when found in Name/Series authority records.

### **SACO:**

Do not use this field.

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### **LC:**

#### **NAMES/SERIES:**

Do not use this field.

LC does not maintain this field.

#### **SUBJECTS:**

Do not use this field.

## INTRODUCTION

These instructions address the creation and update of name and series authority records. They do not address subject authority records. For the purposes of this document, "authority record" applies to both name and series authority records. "Authority file" applies only to the name and series authority records which constitute the national authority file (NAF).

LC staff members and libraries participating in the Name Authority Cooperative (NACO) component of the Program for Cooperative Cataloging (PCC) contribute records to the authority file. In addition to being available online at LC, the authority file is available to NACO participants through the OCLC and RLIN utilities.

In constructing headings/references and recording information, NACO participants and LC catalogers not working in the LC Database may make use of all records on the file against which the searching and cataloging is being done: OCLC, RLIN, etc. NACO participants may choose to use only LC records found on the file being searched. For LC catalogers working in the LC Database, the file is the set of records comprising the "LC database" (see 670 yellow pages). In this document, "database" refers to whatever file is being used for searching and cataloging. At times, LC staff may need to consult the manual Official Name Catalog (ONC).

Use this document (DCM Z1) in connection with AACR 2, *Library of Congress Rule Interpretations* (LCRI), and other sections of the Descriptive Cataloging Manual (DCM). It supplements the *USMARC Format for Authority Data* and generally does not repeat information found in the format. Interfile the pages of this document with the appropriate pages of the format; the pages of this introduction through the pages "MARC 21 fields ..." can be filed after the introduction section in the format. The examples are given in MARC 21 style; an exception is the use of a blank space before and after the delimiter/subfield code combination. The symbol "#" represents a blank in an indicator position; the symbol "\$" is used for the delimiter.

This "Introduction" section covers the following topics:

- Name authority records (NARs)
- Series authority records (SARs)
- Additions and changes to authority records
- NACO normalization
- Should an SAR be made?
- How many SARs should be made?
- Series statement appears only on CIP data sheet at galley stage
- Priorities for series/multipart items
- Searching series

Name authority records (NARs)

A name authority record has the following basic contents: 1) the authorized form of name chosen for use in headings, 2) the sources for this form and for variant forms, and 3) the cross references leading to the heading from variant forms or from related headings. Additional information may be recorded in fixed fields and in note areas of the authority record. Control data and content designation are also included for proper identification and manipulation of the data.

Generally, make a name authority record for any personal or corporate (including geographic) name heading that may be used as a main or added entry heading, whether it is actually first used as (or as part of) a main entry heading, a secondary entry (including a subject entry), or in certain cross references (e.g., hierarchy 4XX references, 5XX references). NARs are not made for personal names when the only clue to the person's identity is a nonalphabetic or nonnumeric device, or for entities that may be used only as subject entries, e.g., topical subject headings, fictional characters, animals.

*LC practice:* For titles or name/titles (other than series, see below), an authority record is required only when one or more of the conditions listed below applies. Apply these criteria to each element of the full heading (main title, language, part, etc.) and make a separate authority record for each element that meets the criteria. Note: Authority records are not automatically created for each element of a uniform title heading.

- (1) a reference must be traced on **that** authority record; or,
- (2) special research done to establish that heading must be recorded (Note: In this context the LC manual Official Name Catalog is treated as a reference source; so searches in that catalog should be recorded in the authority record); or,
- (3) the heading is needed for a related work added or subject entry, and the work is not represented in the LC database either by a bibliographic record for the work itself (original or translation) or by an analytical added entry on another bibliographic record; or,
- (4) special information needs to be recorded, e.g., citation title for a law;

*LC music cataloging practice:* As of August 16, 1999, authority records are created for ALL title and name/title headings.

*NACO participants* may contribute name authority records for titles or name/titles (other than series, see below) as needed for cataloging.

Series authority records (SARs)

*LC practice:* Make a series authority record for all monographic series, analyzable or partially analyzable multipart items, all occasionally analyzable serials other than monographic series, and series-like phrases that may be construed by some to constitute a series.

*NACO participants* may contribute series authority records for categories noted in paragraph above; they may contribute series authority records for not-analyzable multipart items according to local decisions.

A series-like phrase record also can be made to record information of general interest or application, e.g., the 1XX in the record is an imprint rather than a title.

A series authority record has the following basic contents: 1) type of series code (i.e., monographic series, analyzable multipart item, a serial other than a monographic series, series-like phrase), 2) form of heading, 3) series treatment (classification, analysis, and tracing), 4) series numbering, 5) an LC call number, if classified as a collection, 6) place of publication and publisher/issuing body, 7) the source(s) on which the form of series heading is based, 8) cross references leading to the heading from variant forms and from/to related headings. Additional information may be recorded in fixed fields and in note areas of the authority record. Control data and content designation are also included for proper identification and manipulation of data.

Until 1983, series authority records created at LC, for the most part, reflected solely LC holdings and practices. However, now the authority file is a national authority file that accommodates not only LC holdings and practices, but those of other institutions as well.

Series treatment information reflects institution-specific decisions. Therefore, the fields containing series treatment information require the identification of institution(s) following that practice. Since series treatment decisions in an institution can change, certain series treatment fields provide the means for indicating variations in practice within an institution.

#### Additions and changes to authority records

Almost as common as the need for a new authority record is the need to alter an existing record. New information can be received in various ways (e.g., new cataloging, investigation in response to a query) and may be significant enough to add to the permanent authority record.

Normally a new reference or a change in heading must be justified by the addition of new information to the authority record. Many other types of data can be added to the authority record when judged useful for proper identification.

Change an authority record when errors in headings or cross references are discovered. When the published work for an item cataloged through the CIP program shows a change in the form of name of a person, corporate body, uniform title, or series, change the authority record; add the published source after the CIP source in the 670 field to document the change. Changes in the imprint date, choice of main entry, and changes in title proper do not require changes to authority records created for CIP items.

*LC practice:* Do appropriate bibliographic file maintenance if changing the 1XX heading. *NACO practice:* If changing the 1XX heading, report the need for bibliographic file maintenance to the Cooperative Cataloging Team, RCCD.

Code uncoded headings for AACR2 at the first instance of use. Refer authority records for headings that are totally invalid under AACR2 to the Cataloging Policy and Support Office (CPSO).

Series authorities contributed by NACO libraries may or may not reflect LC treatment decisions; see the section "National level/NACO treatment decisions and LC actions" in the 64X

yellow pages for specific information about presence/absence of LC treatment decisions. *LC practice:* When cataloging the first item for LC, add any missing treatment decisions for LC.

### NACO normalization

The Research Libraries Group (RLG) has in place computer software that compares headings and see references in the authority file to determine if there is duplication.

This comparison relies on a process called *normalization*, a computer edit designed to eliminate all but the essential characters of a heading for the purpose of the comparison. All parties involved in the exchange of authority data have agreed to the rules for normalization. The process of normalization removes all diacritics and most punctuation, and converts all letters to uppercase and all modified letters to their unmodified equivalents. Subfield delimiters (but not subfield codes) are retained in the normalized form. The normalized form of heading differs from the authorized catalog form of the heading. For example:

Catalog form:	Ile-de-Montréal (Québec)
Normalized form:	ILE DE MONTREAL QUEBEC

Only normalized forms of headings and references are compared in the check for uniqueness. Normalized forms that match are considered duplicate headings or a see reference in conflict with an authorized heading.

The only mark of punctuation that is retained during normalization is the first comma in subfield \$a. This exception means that the following two headings normalize to different forms:

Catalog form:	Chung, Hui
Normalized form:	CHUNG, HUI

Catalog form:	Chung-hui
Normalized form:	CHUNG HUI

To conform to the NACO standard, participants must adhere to the following policies:

**Headings.** Because headings that differ only in diacritics, marks of punctuation (except the first comma, as stated above), capitalization, or special characters normalize to the same form, they are considered to conflict and must be further distinguished. If personal names cannot be distinguished, create an undifferentiated personal name authority record. The heading can represent only one form of the name (it does not matter which), but the 670 fields for each person should make it clear what the catalog entry form should be, and that form, not necessarily the form in the 100 field, should be used in the entry on the bibliographic records. For example:

100 1# \$a	Ku, Chun
400 1# \$a	Gu, Zhun
400 1# \$a	Gu, Qun
670 \$a	[Editor of Hsia jih ti hui i]

- 670 \$a Lo, Y.L. Hsia jih ti hui i, 1977: \$b t.p. (Ku Chün)  
 670 \$a [Joint author of Chung-kuo cheng fu k'uai chi chih tu]  
 670 \$a P'an, H.L. Chung-kuo cheng fu k'uai chi chih tu, 1941: \$b t.p. (Ku Chun)

Form of entry on bibliographic records for the first author: Ku, Chün.

Form of entry on bibliographic records for the second author: Ku, Chun.

**See References.** Do not trace a 4XX reference that normalizes to the same character string as an existing authorized 1XX heading in the national authority file, including the heading in the record to which the reference is made. This policy also applies to the *optional* linking references. If a linking reference and the heading in the same record normalize to the same form, do not trace a 4XX linking reference. Instead, give the old catalog heading in a 667 field preceded by the phrase: Old catalog heading:.

- 100 0# \$a Napoleon \$b I, \$c Emperor of the French, \$d 1769-1821  
 667 \$a Old catalog heading: Napoléon I, Emperor of the French, 1769-1821  
**not** 400 0# \$w nnaa \$a Napoléon \$b I, \$c Emperor of the French, \$d 1769-1821
- 130 #0 \$a Archives of toxicology. \$p Supplement  
 667 \$a Old catalog heading: Archives of toxicology : Supplement  
**not** 430 #0 \$w nnaa \$a Archives of toxicology : \$p Supplement
- but** 151 ## \$a Birmingham (Ala.)  
 451 ## \$w nnaa \$a Birmingham, Ala.  
*(This linking reference is permitted because the comma in the \$a subfield makes the heading unique.)*
- 110 2# \$a United States Information Agency  
 410 1# \$a United States. \$b Information Agency  
*(This reference is permitted because the delimiter is retained in the normalized form and makes the heading unique.)*

Apply these guidelines to references on new authority records and to existing authority records when making some other change to the record.

Should an SAR be made?

Series authority records should not be made for the following categories:

- (1) a republication that does not include the original series statement (see "Republications" section in 64X yellow pages);
- (2) *LC practice*: an unanalyzable numbered multipart item;
- (3) *LC practice*: generally, an unnumbered multipart set processed via "2A cataloging" unless some of the volumes have been analyzed (see DCM C12.7);
- (4) *LC practice*: a periodical (includes several separate articles by several contributors, frequency of publication more often than annual, and usually has both numeric and chronological designations) even if the issue in hand consists of a single contribution (e.g., a festschrift, proceedings of a conference) or may have a special title giving the overall theme of the issue;

Some issues of some periodicals were analyzed in error and are represented by SARs. 008/12 should be value "z" and the 644 field should be: 644 \$a n \$b except [vol. no. of the volume(s) already analyzed] \$5 DLC. If the SAR does have this information, send the volume(s) in hand to Processing and Reference Section, Serial Record Division; if the SAR doesn't have that information, send the volume(s) in hand and SAR printout to CPSO.

If there is no SAR but there are analytic records, refer the volume(s) in hand to CPSO with a note "Periodical has been analyzed -- no SAR."

- (5) a hardcover (sometimes even softcover) edition of a selected issue of a periodical;

Several publishers (e.g., Haworth Press, Pergamon Press) publish separate editions, with special titles, of selected issues of their periodicals. These editions are published in addition to the unbound issues received by subscribers. The Library generally acquires the separate edition whether or not it subscribes to the periodical.

Do not consider such a separate edition to be an integral part of the periodical; do not prepare an SAR. Make a separate bibliographic record for it. Add a note explaining its relationship to the periodical, e.g., "Published also as v. 15, no. 2 of the Journal of children in contemporary society." Give a related work added entry for the periodical on the bibliographic record (cf. LCRI 21.30G).



It is not always clear, especially at CIP galley stage, whether the item in hand is an integral part of the periodical or a separate edition. Some publishers make clear statements, e.g., saying the title "has also been published as [title of journal], v. \_\_\_\_\_, no. \_\_\_\_\_." Others make ambiguous or misleading statements, e.g., saying that the edition is "Published as a special issue of the journal \_\_\_\_\_, v. \_\_\_\_\_, no. \_\_\_\_\_ and supplied to subscribers as part of their normal subscription." The latter statement seems to indicate that the volume in hand is the only one issued and constitutes an integral part of the periodical. If the information given in the item is ambiguous, check the issue of the periodical or contact the publisher.

### How many SARs should be made?

Since the entities represented by series authority records offer limitless possibilities for variation and change, it is sometimes difficult to determine how many authority records should exist.

- (1) The title/series-like phrase changes.

Is the change in title proper of the monographic series or other serial a major change or a minor change? (Consult 21.2A, LCRI 21.2A.) If it is a major change, make a new SAR. If it is a minor change, give a 670 citation and a 4XX reference for the different form.

Is a separate SAR made when the title of a multipart item changes? No; give the other title proper as a 4XX reference.

Any difference in a series-like phrase requires a new SAR.

- (2) How many authority records are made if the volumes of a monographic series are in different languages? Consult LCRI 1.6, 21.14, and 25.5C.
- (3) How many authority records are made if the same volumes in a series are published separately by publishers in the same language in the United States and in another country (e.g., England)? A separate SAR is made for the series from each publisher; if the titles of the series are the same, add a LCRI 25.5B qualifier to the SAR made later.
- (4) How many authority records are made if the volumes of a monographic series switch from having numbers to lacking numbers and vice versa? Consult LCRI 1.6.
- (5) How many authority records are made for main series and subseries? Consult LCRI 1.6H and LCRI 1.6.
- (6) Has there been a change in responsibility (i.e., different person/body,

body's name changes, uniform title changes)? Consult 21.3B.

- (7) When reestablishing a series, is the apparent difference between the "earlier" form of title and the current title due to different transcription practices? If so, make only one SAR. *Optionally*, give the "earlier" form as a 4XX/667 old catalog heading (see 4XX yellow pages).

Possibilities include the following:

- (a) A change in the ALA/LC policy for romanization or word division results in a different title.

130 #0 \$a Makedonikē vivliothēkē  
430 #0 \$w nna \$a Makedonikē bibliothēkē

- (b) The title is in a language containing a symbol or numeral that under earlier rules was replaced by the corresponding word or words.

130 #0 \$a Soldatenschicksale des 20.  
Jahrhunderts als Geschichtsquellen  
430 #0 \$w nna \$a Soldatenschicksale des  
zwanzigsten Jahrhunderts als  
Geschichtsquellen

- (c) The title of the series was transcribed in truncated form under previous rules.

130 #0 \$a Occasional papers of the California  
Academy of Sciences  
410 2# \$w nnaa \$a California Academy of  
Sciences, San Francisco. \$t Occasional  
papers

- (d) The series title consists solely of the name of a corporate body and the same form of the same series was under earlier rules considered to lack a title.

130 #0 \$a Centre de recherches d'histoire  
ancienne (Series)  
410 2# \$w nnaa \$a Centre de recherches  
d'histoire ancienne. \$t Publication

(pre-AACR2 form of heading: Centre de recherches  
d'histoire ancienne. [Publication])

- (e) Evidence indicates that a word such as Bibliotheca, Collection, Edice was always present as the first word of the title but was not considered to constitute a part of the title proper.
- (8) How many series-like phrase heading SARs are made for the same phrase used by different bodies?

There should be only one SAR. If an SAR already exists, use it as an undifferentiated phrase record; delete from the existing heading any qualifier other than "(Series)."

If the heading on an undifferentiated phrase record consists of a combination of letters that is the same as an acronym/initialism or name of a corporate body, use the qualifier "(Series)." If the heading on an undifferentiated phrase record conflicts with the title of a serial (monographic series or non-analyzable serial), add a qualifier to the heading for the serial on its bibliographic record.

Give the 643 field as "Various places : various publishers." Do not give a 667 for publisher variations.

Include two 667 fields. The first should be either "Give phrase as a quoted note" or "Do not give phrase as quoted note." The second 667 should be the following: "Undifferentiated phrase record: Covers all instances when this character string used by any publisher is considered to be a series-like phrase; if character string is considered to be a series, separate SAR has been made."

*LC practice:* Use the template "series-phrase-nonunique.tem" and cancel any existing phrase SAR in favor of the new record. Template has the 643 field and "Undifferentiated ..." 667 field notes above. The other 667 field in the template is given in the form "Give --- Do not give the phrase as a quoted note." Delete either "Give" or "Do not give" from the 667 field so appropriate instruction remains.

*Series statement appears only on CIP data sheet at galley stage (LC practice)*

- (1) Series is new to the Library.

**Either**, (a) Clarify the data with the publisher via a phone call:

- (i) Request revised copy (e.g., revision of the mock-up title page, preliminaries) from the publisher.

(ii) Add 955 to the CIP bibliographic record: "Holding CIP waiting for series information from publisher."

(iii) When revised copy is received, establish series according to regular procedures.

(iv) If revised copy is not received, establish the series provisionally using the form given by the publisher in the telephone call and transcribe the series statement without brackets in the bibliographic record.

(v) If publisher could not be contacted, establish the series provisionally using the form on the data sheet and transcribe the series statement without brackets in the bibliographic record.

**or** (b) return the CIP data sheet to CIP Division with request that CIP contact the publisher.

(i) Add 955 to the CIP bibliographic record: "Returned to CIP to request series information."

(ii) When revised copy is received, establish series according to regular procedures.

(iii) If revised copy is not received, establish the series provisionally using the form on the data sheet and transcribe the series statement without brackets in the bibliographic record.

(2) Series is already represented by an SAR.

(a) Series title on data sheet matches form of title in the SAR: Transcribe the series statement without brackets in the bibliographic record. Trace the series if appropriate according to regular procedures.

(b) Series title on data sheet is considered to be variant form of the title in the SAR:

(i) Transcribe the series statement without brackets and trace the series if appropriate according to regular procedures.

(ii) Add reference(s) to the SAR for the variant form.

(c) Series title on data sheet might represent a title change or situation might require a change in heading from that in the SAR:

(i) Either clarify the data with publisher yourself or return the CIP data sheet to CIP Division with request that CIP contact the publisher (see (1)(a) or (1)(b) above for procedures to follow).

(ii) When information from publisher is received, follow regular

procedures and either add information and reference(s) to the existing SAR or create a new SAR as appropriate.

(iii) If information is not received from publisher, create a new SAR and code it as a "provisional" record. Include explanation in 667 about lack of information from publisher. Transcribe the series statement without brackets in the bibliographic record.

(3) Series is represented by analytic bibliographic records but there is no SAR: Contact CPSO.

### Priorities for series/multipart items (LC practice)

The first volume received of a numbered monographic series and the first/subsequent volumes of a multipart item are priority 2 materials. If the volume has a slip with a lower priority, change the priority slip.

Items in the categories listed below formerly were upgraded to priority 1. Do not upgrade the priority of these volumes. However, realize that efficient processing of these items will mean that later volumes can also be processed efficiently. If problems develop due to delays in cataloging, notify CPSO.

- (a) first volume in LC\* of a series/subseries being classed as a collection or is in LC but lacks call number;
- (b) first volume in LC of a multipart item being classed as a collection;
- (c) series/subseries/multipart item being changed from classed separately to classed as a collection;
- (d) analyzed volume of a periodical, etc., not yet in LC\* or in LC but lacks call number;
- (e) law series classed as a collection but "LAW" is only call number on analytic records.

\*Serial catalogers: If no decision has been made regarding selection of the serial as a whole, forward the serial to the serial selection officer; if the serial as a whole is not to be added to LC's collections, forward the item(s) and the SAR printout to CPSO.

### Searching series

LC catalogers working in the LC Database: Also see the searching strategy document. |

Searching is the most important step in series processing. You must determine whether your series is already represented in the database; if not, you must know what other series are already in the database so your series will "fit" and not conflict with headings on authority and bibliographic records (also see LCRI 25.5B).

Remember that the bibliographic records in the database include series handled under

different cataloging codes. Some of the differences affecting series access are summarized below.

Choice of entry:

AACR 1 had a special rule for serials. Generic titles were entered under body. Titles containing name or initialism of body were entered under body.

AACR 2 has no special rule for serials. Most are entered under title per 21.1C1.

Title truncated:

For a time AACR 1 eliminated from the series title the name or part of the name of the body. "Bulletin of the Department of Education" became "Bulletin." "Research Department study" became "Study."

Space-hyphen-space:

Revised chapter 6 of AACR 1 specified that space-hyphen-space plus the body's name should be added to generic titles to create titles proper. The body's name was given in the form found on the item (which could change from one issue to the next). "Report - Department of Health" might be "Report - Virginia Department of Health" on the next issue and "Report - Commonwealth of Virginia Department of Health" on another issue. The form in the series added entry depended upon which issue was used when establishing the heading.

Subseries:

AACR 1: If subseries title was "weak," the subseries was entered subordinately to the main series; if subseries title was "strong," the subseries was entered independently.

AACR 2: If the main series and subseries are on the same source in the preliminaries, the subseries is entered subordinately to the main series; if the main series and subseries aren't on the same source in the preliminaries, the subseries is entered independently.

Also remember that series titles including initial articles appearing on pre-1979 records, in series statements for untraced series (490 0), and in some LC in-process records do not have the filing indicator set for the initial article. If the series title on item in hand includes an initial article, do a search including the initial article as well as a search without it.

*LC catalogers:* You may need to search in the manual Official Name Catalog for older publications not found in the LC Database or for more information than can be found in PREMARC records. Remember that there is no series usage in PREMARC records; only series added entries are included and they reflect a mixture of earlier cataloging rules (also see DCM S1). "Series-related" cards that are and are not in the manual catalog:

-- blue stock series treatment cards: traced series (see below)

[catalog entry form]

Classified as a collection  
 Classified as monographs  
 Analyzed in full  
 Analyzed in part  
 Not analyzed  
 Form of series note

-- white stock series treatment cards: untraced series (see below)

[name/title or title]

The volumes of this series which are in the library are  
 listed under their respective authors.

- no series added entry cards
- collected set records for both multipart items and monographic series  
 (check verso of card: "Serials File Serial Record" stamp =  
 monographic series)

- (2) the LC heading has been coded as AACR2-compatible (008/10 = d) and NLM has established the heading as "pure" AACR2 (008/10 = c);
- (3) both libraries have headings already coded as "pure" AACR2 and NLM has a greater number of bibliographic records in support of its heading than LC has in support of its heading. (If the number is equal, the better heading is chosen, basing the decision on judgment.)

### SARs

When creating an SAR for an entity already represented by an existing NAR, either cancel the NAR or convert the NAR to an SAR.

If facts are available later that indicate an incorrect decision was made in a "series vs. series-like phrase" situation, contact CPSO about changing the SAR. Don't change the decision due just to different cataloger's judgment.

For the title proper of a multipart item, consult AACR2 1.0H2.

### Choosing a monographic series title proper:

- (1) If the item in hand has more than one form of series title, consult AACR2 1.6B2 and .0B2 in the AACR2 chapter for the material being cataloged.
- (2) If the item in hand has the series title in more than one language or script on the same source, consult AACR2 1.1D2 and its LCRI.
- (3) If the item in hand has series title pages in more than one language and or script and the series title appears on each of the sources in the appropriate language or script, consult AACR2 1.0H1.
- (4) Consider spacing and changes in typography when determining where the series title begins and ends. Also consult AACR2 12.1B3 and its LCRI.

### Establishing an SAR heading:

- (1) Determine choice of entry based on chapter 21 of AACR2.
- (2) Exclude from the heading the following information included in the series statement in the analytic bibliographic record:
  - (a) initial article in subfields \$a, \$t, \$n, and \$p;
  - (b) other title information;
  - (c) statement of responsibility;
  - (d) parallel title(s);
  - (e) ISSN;



- (2) there is no one-to-one correspondence between the pre-AACR2 heading and the AACR 2 heading, i.e., two or more pre-AACR2 headings will be treated as one heading under AACR2, or one pre-AACR2 heading will be split under AACR2. Instead, in a 667 field give the appropriate information. For the former, use "Includes the old catalog headings: \_\_\_\_\_; and, \_\_\_\_\_." For the latter, use "Previous to AACR2 covered by the heading: \_\_\_\_\_;"
- (3) for SARs, the series was previously untraced and it is not clear what form should be considered the old catalog heading.

If the heading on an existing NAR or SAR is changed, give a reference from the replaced AACR2 heading only if that form of reference would otherwise be given.

### SARs

Give references on all SARs (even those for series-like phrases). When the classification decision is "as a collection," some references may duplicate added entries on the bibliographic record for the collected set.

If the volumes of a multipart item have different forms of the common title, use a 4XX reference rather than a 5XX reference for the form of the title not chosen as the title proper of the multipart item.

**5XX See Also From Tracings**General

When modifying an authority record for another reason, delete any final mark of punctuation in a 5XX field unless it is a part of the data (e.g., a period in an abbreviation) or is called for by the cataloging rules (e.g., a parenthetical qualifier).

Subfield \$w (control subfield)

Follow the conventions in the authority format for use of subfield \$w. Do not supply subfield \$w unless a value other than "n" would be appropriate in one of the positions. When supplying subfield \$w, give it as the first subfield in the field. Supply character positions preceding, but not succeeding, the value, e.g.,

\$w a = to indicate a reference from an earlier heading

\$w b = to indicate a reference from a later heading

\$w nnnc = to indicate a complex see also reference (record also contains a 663 field)

NARs

Consult AACR 2 Chapters 22-26 and rule interpretations for guidelines on which 5XX references to make.

Routinely delete all subject-to-name references (5XX with subfield \$w/1 = b) when changing a record for another reason. (These references are no longer made; since existing references have not been maintained, they may not be in accord with current subject cataloging policy.)

SARs

Do not code the subfield \$w for an earlier/later relationship when the SAR is for (1) an unnumbered series, (2) an unnumbered multipart item, or (3) a series-like phrase.

If the title in the earlier/later relationship is not represented by its own SAR, do not give a 5XX reference from that title. In a 667 field give a "Continues:" or "Continued by:" note, citing the other title; if the form of entry for that title is not known to be the AACR 2 form, add "[unevaluated catalog entry form]" at the end of that field. When an SAR is made for that title, delete the 667 field and add the appropriate 5XX reference. (See also 667 yellow pages.)

If the volumes of a multipart item have different forms of the common title, use a 4XX reference rather than a 5XX reference for the form of the title not chosen as the title proper of the multipart item.

**642 Series Numbering Example**

Consult AACR 2 1.6G and LCRI 1.6G concerning choice of numbering designation.

Determine the form of numbering from the item in hand (not necessarily the first item of the series) and then use that form in tracing all items in the series. When reestablishing a series, change any subfield \$v forms in access points in existing analytic records that don't match the form in the 642 field.

If the only number found on the item is the number in the series statement within the CIP data, ignore that number and consider the series to be unnumbered. *LC practice:* However, if the series is already established and the classification decision (646) is value "c" (classified as a collection) or value "m" (classified with main or other series), use that number.

If at the time of reestablishing a series, analytic records in the database show that the series is both numbered and unnumbered but the item in hand is unnumbered, determine the form of number to be used in the tracing from the records in the database and record the earliest number in the 642 field. Also add in a 670 field the citation of the analytic bibliographic record on which the form of number is based; include the number in the parenthetical data in the subfield \$b.

If the analytic being cataloged is a multipart item that represents more than one volume in the series (e.g., the two volumes of the multipart item are numbers 17 and 18 of the series), record only one number in the 642 field; do not use a sequence of numbers.

When an analyzable multipart item is classified with another series (646 \$a = m), the number recorded at the end of the call number in the 050 field will not be the number found in the 642 field. The number found in the 050 field is the number of the "other series" found on the item in hand. (See 050 yellow page.)

When wording such as "new ser." has been supplied in brackets with the numbering in the bibliographic record 4XX subfield \$v (cf. AACR2 1.6G1), include the brackets in the 642 field being added to the SAR:

e.g., 642 \$a [new ser.], no. 1

Serial catalogers: include the 642 field even though subfield \$v usually doesn't appear in 4XX/8XX of serial analytic records.

*Recording national-level, Library of Congress, and PCC local decisions for form of numbering*

The national-level decision for form of numbering is to be followed by LC and those libraries creating BIBCO records. The MARC 21 organization code used for this national-level decision in subfield \$5 is "DPCC" (PCC = Program for Cooperative Cataloging). LC staff and PCC participants should include the national-level and local decisions in SARs according to the following guidelines.

## **Canadian Headings**

### **LC/NLC Cooperative Agreement**

Through a cooperative agreement between the Library of Congress and the National Library of Canada (NLC), all headings for Canadian corporate bodies used in current cataloging must be in the NLC authorized form. The NLC form for personal names will be accepted for some personal names used in cataloging materials with Canadian imprints. In the interest of efficiency, both corporate and personal names may be accepted from information found in Canadian CIP data or access points on current NLC bibliographic records without further searching.

### **NLC Authority File (AMICUS)**

Access to the AMICUS database authority file is provided to LC catalogers through Z39.50 access as a remote database feature in the LC ILS. PCC catalogers may access the NLC authority file via AMICUS web through their local internet browser. Both LC and PCC catalogers must search the AMICUS authority file to find the NLC approved form of the heading when this form is needed in cataloging of Canadian imprints and it is not available elsewhere, e.g., Canadian CIP data or access points on current NLC bibliographic records. When the AMICUS file is searched and a needed heading found, LC catalogers will import the NLC authority record according to the appended "NLC Name Authority Record Adapt Procedures for LC catalogers." PCC catalogers will use the information found as instructed in the following guidelines incorporating the information in the appropriate MARC data fields for authority records as usual.

When there is no need to search the AMICUS file, such as when Canadian CIP data is available, both LC and PCC catalogers will create an authority record as usual taking into consideration the guidelines outlined in the following sections.

PCC catalogers must contact the Cooperative Cataloging Team (Coop) in the Regional and Cooperative Cataloging Division (RCCD) to have Canadian corporate headings verified by NLC only when these headings are not found in Canadian CIP data, access points on current NLC bibliographic records or in the AMICUS authority file or the resAnet bibliographic database. LC catalogers may contact NLC for verification of corporate name headings when these are not found via their NLC Liaison in their Division (cf. List ). Both LC and PCC catalogers will create an authority record for NLC corporate headings based on the information supplied directly by NLC or by the Coop Team according to the guidelines outlined in the following sections.

## 1. General Overview.

### 1.1. Personal Name Headings:

**LC catalogers:** Headings for personal names are taken preferably from Canadian CIP data printed in the book. Personal names may also be taken from access points found on current NLC issued bibliographic records, including those found in the “resAnet” database at url: <http://www.amicus.nlc-bnc.ca/wapp/resanet/searche.htm> If the access point on the NLC bibliographic record or the Canadian CIP data is not clear, appears to need updating, or there is no CIP data available, search the AMICUS authority file. If the name is not found it is not necessary to ask NLC to establish a personal name heading; establish the personal name based on the information in the item, etc. as per usual.

**PCC catalogers:** Follow the guidelines above, if the personal name heading is not found no further NLC verification will be sought; establish the personal name based on the information in the item and the guidelines provided in Section 2 of this document.

### 1.2. Corporate Name Headings:

**LC catalogers:** New Canadian corporate names may be established from Canadian CIP data or from headings found on access points on current bibliographic records issued by NLC. New Canadian corporate names not found in these two sources and corporate names not yet coded for AACR2 or coded AACR2 but lacking NLC verification or which are in conflict, must be verified by searching the AMICUS database. If the corporate name is not found in the AMICUS database, it will be necessary to ask NLC to supply the form of the heading and any attendant cross references.

**PCC catalogers:** New Canadian corporate names may be established from Canadian CIP data or from headings found on access points on current bibliographic records issued by NLC (as found in the bibliographic utilities or by searching the resAnet database). New Canadian corporate names not found in these sources and corporate names not yet coded for AACR2 or coded AACR2 but lacking NLC verification, or which are in conflict must be verified by searching the AMICUS database. If the corporate name is not found in the AMICUS database, the Coop liaison will ask NLC to supply the form of the heading and any attendant cross references. The PCC participant will create a NAR based on this information following the usual NACO procedures.

Alternatively, PCC participants may create the corporate name heading (keeping in mind the procedures outlined in Section 3 of this document) and contribute it to the national authority file and afterward notify their Coop liaison of the need for NLC verification. The PCC participants follow this course of action with the understanding that they may need to make modifications to the heading, etc. after their Coop liaison consults NLC.

### **1.3. Conference Name Headings:**

Use judgment in considering meetings held in Canada as "Canadian." For example, if an international conference happens to meet in Canada, it is not necessary to verify its heading according to these instructions.

### **1.4. Geographic headings:**

The NLC form of the geographic headings will be used without modification (cf. LCRI 23.2) When a geographic heading is not found in Canadian CIP data, access points on current NLC bibliographic records, or by searching the AMICUS authority file NLC must be contacted in order to verify the form of the name.

### **1.5. CIP Cataloging:**

When a Canadian corporate heading is needed for a CIP item and the heading is not found in the AMICUS database, LC cataloger's will create a NAR based on the information in the item, etc. save it to the database and then send a message to NLC for verification of the name.

### **1.6. Contacting NLC:**

**LC catalogers:** NLC may be contacted through the NLC Division Liaison (cf., Section 9) or through the NLC Liaison in the Coop Team in RCCD. Catalogers should send an e-mail with the name in the exact form in which it appears on the publication(s), including any hierarchical information which may be available, give the date of the publication and, whenever possible, the source of the name, e.g., "t.p.," "incl. in title," "preface."

**PCC catalogers:** Participants will continue to request verification of NLC corporate names as needed. Participants may send an e-mail with the name in the exact form in which it appears on the publication(s), including any hierarchical information which may be available, give the date of the publication and, whenever

possible, the source of the name, e.g., “t.p.,” “incl. in title,” “preface,” or the information may be faxed, etc.

The Coop liaison will contact NLC for verification of corporate name headings and subsequently return the information to the PCC participant for further processing. The Coop liaison will not adapt the NLC heading for inclusion into the LC Database on behalf of the external user nor should the NLC MARC identification code be used in the 040 of the name authority record created by the PCC participant.

## 2. Guidelines for Establishing Canadian Personal Names.

The NLC form is used for personal name headings on bibliographic records for items with Canadian imprints (i.e., the name of a Canadian city appears as the primary (first) place of publication) in the following cases:

- A. The heading is being newly established;  
or,
- B. The heading has been established but the AACR2 form has not yet been assigned, and the current form is not the AACR2 form that would be assigned based on information in the database being cataloged against (i.e., accept the NLC form instead of formulating an LC/PCC form)

### 2.1. Sources for personal name headings:

#### Canadian CIP data:

**General:** Look for the NLC form of heading in the Canadian CIP entry in the book. If found, create an NAR as usual, giving as the first 670 the title of the item being cataloged and cite the Canadian CIP entry in the 670 “Sources found” field. Cite also the Canadian CIP entry as part of the same 670, even if the information is exactly the same:

e.g.: Social inequality, c1984: t.p. (Edward G. Grabb) Can CIP (Grabb, Edward G.)

**LC catalogers:** If there is no Canadian CIP, search the AMICUS authority file. If the heading is found in the AMICUS authority file, import the record, editing it according to the “NLC Name Authority Record Adapt Procedures for LC Catalogers.”

**PCC catalogers:** If there is no Canadian CIP, send a message to the Coop

liaison to execute an AMICUS search for the name in question. If information is found the liaison will return the information to the participant who will create the authority record as usual, based on the information supplied by the Coop Team. Cite the AMICUS database search according to the guidelines in DCM Z1, 670 field (e.g., NLC database, date \$b hdg.:\_\_\_\_\_)

**General:** If the NLC form is not found in these sources, establish the name according to usual procedures. Do not refer the name to NLC for special verification. Cite NLC and the date of the search in the 675 “sources not found” field.

**Note:** CIP data may be found to be incorrect. Catalogers should use judgement in determining if additional searching is needed and/or if the heading should be accepted “as is.” In the interest of efficiency a quick decision is encouraged; however, do not query NLC on the form of the heading. If necessary establish the name according to usual LC practice and record the NLC form in a 670 citation.

#### **Access points on current NLC bibliographic records:**

**General:** If the heading being formulated is found as an access point on a current NLC bibliographic record, catalogers may create an NAR based on that information. If the NLC bibliographic record is the same item being cataloged give as the first 670 the title of the item with subfield \$b information as per usual. If the heading on the same titled NLC bibliographic record contains a date, fuller form of name, etc. not found in the item-in-hand use judgement in formulating a cogent citation.

670 \$a When the fat man sings, 2002: \$b t.p. (Liz McKeen) NLC hdg. (McKeen, Liz, 1952-)

If it is not the same, cite the NLC heading in a second 670 citing the form of the heading and the usage found in the 245 of subfield \$c of the bibliographic record as per usual.

670 \$a OCLC database, date \$b (NLC hdg: Grabb, Edward G.; usage: Edward G. Grabb)

**or**

670 \$a resAnet database, date \$b (NLC hdg: Grabb, Edward G.; usage: Edward G. Grabb)

#### **2.2. Conflict with another personal name:**

If the form found in the AMICUS authority file or in the Canadian CIP would conflict with another heading, do not use it. Instead, establish the name according to usual LC practice and record the NLC form in a 670 citation.

#### **2.3. LC heading in LC database for Canadian personal name:**



If the existing LC heading matches the NLC heading except that the NLC heading includes a date, accept the existing LC heading as the AACR2 form, i.e., do not change the heading to add the date, and vice versa. (Dates added to personal name heading are additions to the heading and are not considered when comparing forms)

**Note:** When establishing a new heading and the LC or PCC cataloger has date information but there is no conflict, do not include the date whenever the NLC form does not show this addition.

#### **2.4. Personal Name References:**

For personal names, accept NLC references without justification; however, assure that these are formulated according to current LC conventions and practices (cf. DCM Z1, LCRI Chapter 22 and 26, etc.). Justify any references generated by new cataloging as per usual.

### **3. Guidelines for Establishing NLC Corporate Names.**

#### **3.1. Capitalization/Punctuation:**

If the NLC form differs from the LC/PCC AACR2 practice for capitalization or punctuation, accept the NLC form.

#### **3.2. Conferences:**

NLC establishes ongoing conferences with qualifiers for each individual conference. Delete these qualifiers and establish one authority record for the series of conferences (cf. LCRI 24.7B).

#### **3.3. Corporate names exceptions:**

If NLC indicates that the name is not a corporate body (e.g., a plan, a project) establish the heading according to the usual LC/PCC practice. Record the NLC decision in the 670 field.

NLC treats the Religious Society of Friends as a corporate body but LC treats it as a subject heading. LC/NACO practice is to establish Society of Friends "meetings," etc., directly under their own names whereas NLC establishes these entities

subordinately to "Society of Friends." NLC has agreed that LC/NACO libraries do not have to contact NLC for Canadian corporate bodies associated with the Society of Friends.

### **3.4. French vs. English:**

LC/PCC practice is to establish Canadian corporate names in English whenever possible, the exception being headings for Québec corporate names which LC establishes in French. NLC practice is to establish all corporate headings in both English and French whenever possible—meaning that the two forms appear on works they have in hand. This means for many headings, there are separate and complete authority records in the English form and in the French form. There may also be some headings with a combination of the French and English. It is always necessary to search for the English form in the AMICUS database for use in establishing the heading.

### **3.5. Canadian Corporate Headings for Québec:**

In 1974 the government of Québec established French as the sole official language of the province. As a result, for LC/PCC, English headings for Québec government bodies are obsolete for the period that begins with the change of official language. For publication issued through the end of 1974, an English heading is proper. For publications issued 1975- , use a French heading.

NLC verifies two heading for bodies that existed before and after the 1974/75 dividing line: an English one (through 1974) and a French one (1975- )

In the case of headings for non-government bodies in Québec, also accept NLC's verification in French (even, for example, if the work being cataloged is in English). There are some purely English-language private bodies in Québec, and NLC verifies these in English. For those verified in French that cross the language policy divide, apply the provisions given above for government bodies.

If the French form is chosen as the appropriate heading and it includes a qualifying term that has been given in French, change the qualifying term to the English term given in the NLC English equivalent heading. (In such cases the heading will be a "combination" of the French and English NLC headings.)

If a corporate name in French contains the diphthong "oe" which appears in the NLC form as separate letters rather than as a ligature, use the NLC form in the

heading.

N.B. The system of counties no longer exists in Québec; the term Comté has been replaced by the new division Municipalité régionale de comté.

### 3.6. Source for corporate name headings:

The AMICUS authority file is the source for establishing name headings for Canadian corporate bodies not found in Canadian CIP data or on access points on current bibliographic records (see Section 2.1 “Sources for Personal Name headings” for examples of 670 citations for headings created based on these sources)

**LC catalogers:** If a corporate name heading is not found in the two sources above, or if the heading found appears to need updating or presents some other complication, search the AMICUS authority file through the Z39.50 access in the LC ILS. If a record for the heading is found, import the record, editing it according to the “NLC Name Authority Record Adapt Procedures for LC Catalogers.” If a record is not found, send a request to NLC to establish the heading for LC use (cf. 1.5).

**PCC catalogers:** If a corporate name heading is not found in the two sources above, or if the heading found appears to need updating or presents some other complication, search the AMICUS authority file, if the name is not found in the AMICUS authority file contact the Coop liaison for verification of the heading by NLC (cf. 1.5). Create the authority record as usual, based on the information supplied by the Coop Team. Cite either the AMICUS database or NLC according to the guidelines in DCM Z1, 670 field (e.g., NLC database, date \$b (hdg.: \_\_\_\_\_) or NLC, date \$b (hdg.: \_\_\_\_\_))

### 3.7. Corporate Name References:

Trace “see” references found on NLC NARs or as provided by NLC unless incompatible with other existing entries; trace “see also” references given by NLC according to normal guidelines (cf. LCRI 26.3B-C). **Justification of these references is not necessary** (cf. DCM Z1). If a subfield \$w is found on a NLC NAR; analyze the reference to determine if this subfield is needed. Delete or adjust the subfield (or the reference) if it does not follow the current conventions in the *MARC 21 Authority Format* blue pages or the current cataloging policies.

**Earlier/Later:** When making connections between earlier and later corporate names, NLC formerly used simple “see also’s,” (no subfield \$w coding used). If using an older NLC record, and if information is available, code the references earlier/later per LC practice.

Additional references may be given if required, justified according to normal practice.

#### **4.1 Other general considerations:**

Uniform titles (including series) are exempt from the LC/NLC agreement.

When modifying an existing NLC name authority record (i.e., 040 = \$a CaOONL \$b eng \$c CaOONL \$d DLC) which may contain MARC fields not generally created by LC/PCC catalogers (e.g., 016, 042, 7xXs) **do not delete** any of these fields unless these are found to contain errors.

**Section 10: List of NLC Liaisons in the Cataloging Directorate**

<u>NAME</u>	<u>DIVISION</u>	<u>TELEPHONE</u>
1) Brown-Allen, Diana	ASCD	7-5555
2) Doughty, Beth	SRD	7-6429
3) Gilliam, Gracie	RCCD	7-2250
4) Habib, Mary Ann	SMCD	7-2428
5) Hemingway, Brenda	SSCD	7-1897
6) Thompson, Kimberly	HLCD	7-3465